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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/525,510	03/15/2000	Marcus Peinado	MSFT-0135/147325.1	9494

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01/29/2003

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EXAMINER

BACKER, FIRMIN

ART UNIT

PAPER NUMBER

3621

DATE MAILED: 01/29/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application N .

09/525,510

Applicant(s)

PEINADO ET AL.

Examiner

Firmin Backer

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 02 December 2002.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-46 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-46 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on _____ is: a) ☐ approved b) ☐ disapproved by the Examiner.
If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

- 1) ☐ Notice of References Cited (PTO-892) 4) ☐ Interview Summary (PTO-413) Paper No(s). _____
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948) 5) ☐ Notice of Informal Patent Application (PTO-152)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) g. 6) ☐ Other: _____

Response to Request for Reconsideration

This is in response to a request for reconsideration file December 2nd, 2002. Claims 1-46 are being reconsidered in this action.

Claim Rejections - 35 USC § 102

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

2. Claims 1-46 are rejected under 35 U.S.C. 102(e) as being anticipated by Matsuzaki et al (U.S. Patent No. 6,058,476).

3. As per claims 1 and 24, Matsuzaki et al teach a method/computer readable medium for releasing (*transmission system/method*) digital content (*digital copyrighted material*) to a rendering application (*a first device, 51, 110*), the rendering application for forwarding the digital content to an ultimate destination (*second device, 52, 111*) by way of a path (*communication cable 116*) there between, the path being defined by at least one module (*SCSI controller, 121, 130*), the digital content (*digital copyrighted material*) initially being in an encrypted form (*see fig 3, 9, 10, 11, column 11 line 11-61, 22 line 42-23 line 9*) comprising performing an authentication (*authentication*) of at least a portion of the path (*the device*) to determine whether

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each defining module thereof is to be trusted to appropriately handle the digital content passing there through (*see column 6 lines 22-50*) decrypting (*decryption unit*) the encrypted digital content if in fact each such defining module is to be trusted (*column 6 line 51-64*), and forwarding (*transmitting*) the decrypted digital content to the rendering application for further forwarding to the ultimate destination by way of the authenticated path (*see column 5 lines 45-67, 9 line 29-10 line 4, 18 line 21-67*).

4. As per claims 2 and 25, Matsuzaki et al teach a method/computer readable medium further comprising scrambling the digital content upon such digital content being outputted from the rendering application to the path such that the scrambled digital content enters the user mode portion of the path, such scrambled digital content then passing through the modules that define the user mode portion of the path and transiting from the user mode portion to the kernel portion of the path; and de-scrambling the scrambled digital content upon such scrambled digital content transiting from the user mode portion to the kernel portion (*see fig 3, 9, 10, 11, column 11 line 11-61, 22 line 42-23 line 9*).

5. As per claims 3 and 26, Matsuzaki et al teach a method/computer readable medium comprising de-scrambling the scrambled digital content by way of a de-scrambling module (*see column 6 lines 22-50*).

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6. As per claims 4 and 27, Matsuzaki et al teach a method/computer readable medium comprising de-scrambling the scrambled digital content in the kernel portion of the path (*see column 5 lines 45-67, 9 line 29-10 line 4, 18 line 21-67*).

7. As per claims 5 and 28, Matsuzaki et al teach a method/computer readable medium comprising performing an authentication of at least a portion of the kernel portion of the path to determine whether each defining module thereof is to be trusted to appropriately handle the digital content passing there through (*see column 5 lines 45-67, 9 line 29-10 line 4, 18 line 21-67*).

8. As per claims 6 and 29, Matsuzaki et al teach a method/computer readable medium wherein the path includes a user mode portion and a kernel portion, the method comprising performing an authentication of at least a portion of the kernel portion of the path to determine whether each defining module thereof is to be trusted to appropriately handle the digital content passing there through (*see column 6 lines 22-50*).

9. As per claims 7 and 30, Matsuzaki et al teach a method/computer readable medium further comprising scrambling the digital content upon such digital content being outputted from the rendering application to the path such that the scrambled digital content enters the user mode portion of the path, such scrambled digital content then passing through the modules that define the user mode portion of the path and transiting from the user mode portion to the kernel portion of the path; and de-scrambling the scrambled digital content upon such scrambled digital content

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transiting from the user mode portion to the kernel portion (*see fig 3, 9, 10, 11, column 11 line 11-61, 22 line 42-23 line 9*).

10. As per claims 8 and 31, Matsuzaki et al teach a method/computer readable medium comprising de-scrambling the scrambled digital content by way of a de-scrambling module (*see column 5 lines 45-67, 9 line 29-10 line 4, 18 line 21-67*).

11. As per claims 9 and 32, Matsuzaki et al teach a method/computer readable medium comprising de-scrambling the scrambled digital content in the kernel portion of the path (*column 6 line 51-64*).

12. As per claims 10 and 33, Matsuzaki et al teach a method/computer readable medium wherein performing the authentication comprises traversing the at least a portion of the path to develop a map of each module in the path; and authenticating each module in the map (*column 6 line 51-64*).

13. As per claims 11 and 34, Matsuzaki et al teach a method/computer readable medium wherein performing the authentication further comprises ignoring each module not in the map (*see column 6 lines 22-50*).

14. As per claims 12 and 35, Matsuzaki et al teach a method/computer readable medium wherein performing the authentication comprises authenticating an initial module determining all

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first destination modules that receive data from such initial module authenticating each such first destination module, determining all second destination modules that receive data from each such first destination module, iteratively repeating the authenticating and determining steps for third, fourth, fifth, etc. destination modules until each module in such at least a portion of the path has been determined and authenticated (*see fig 3, 9, 10, 11, column 11 line 11-61, 22 line 42-23 line 9*).

15. As per claims 13 and 36, Matsuzaki et al teach a method/computer readable medium wherein authenticating the initial module comprises authenticating a module in the at least a portion of the path that is to receive the digital content before any other module in the at least a portion of the path, whereby the initial module leads to fully determining all other modules that define the at least a portion of the path (*see fig 3, 9, 10, 11, column 11 line 11-61, 22 line 42-23 line 9*).

16. As per claims 14 and 37, Matsuzaki et al teach a method/computer readable medium comprising employing a database device to keep track of all modules determined to be in the at least a portion of the path, whereby already-determined modules in the at least a portion of the path can be recognized (*see column 6 lines 22-50*).

17. As per claims 15 and 38, Matsuzaki et al teach a method/computer readable medium wherein performing an authentication comprises for each module in the at least a portion of the path: receiving from the module a certificate as issued by a certifying authority; and determining

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from the received certificate whether such received certificate is acceptable for purposes of authenticating the module (*column 6 line 51-64*).

18. As per claims 16 and 39, Matsuzaki et al teach a method/computer readable medium wherein performing an authentication further comprises checking a revocation list to ensure that the received certificate has not been revoked (*see fig 3, 9, 10, 11, column 11 line 11-61, 22 line 42-23 line 9*).

19. As per claims 17 and 40, Matsuzaki et al teach a method/computer readable medium further comprising receiving the revocation list from a certifying authority; storing the received revocation list in a secure location (*see fig 3, 9, 10, 11, column 11 line 11-61, 22 line 42-23 line 9*).

20. As per claims 18 and 41, Matsuzaki et al teach a method/computer readable medium wherein performing an authentication further comprises refusing to decrypt the encrypted digital content if at least one module in the at least a portion of the path fails to provide an acceptable certificate (*see fig 3, 9, 10, 11, column 11 line 11-61, 22 line 42-23 line 9*).

21. As per claims 19 and 42, Matsuzaki et al teach a method/computer readable medium wherein performing an authentication further comprises decrypting the encrypted digital content if all the modules in the at least a portion of the path provide an acceptable certificate (*see column 5 lines 45-67, 9 line 29-10 line 4, 18 line 21-67*).

22. As per claims 20 and 43, Matsuzaki et al teach a method/computer readable medium wherein performing an authentication further comprises, for each module in the at least a portion of the path that fails to provide an acceptable certificate defining a sub-portion of the path including the non-providing module, scrambling the digital content upon such digital content entering the tunnel portion of the path. such scrambled digital content then passing through the modules that define the sub-portion of the path; and de-scrambling the scrambled digital content upon such scrambled digital content exiting from the sub-portion of the path; and declaring the sub-portion trustworthy (*see fig 3, 9, 10, 11, column 11 line 11-61, 22 line 42-23 line 9*).

23. As per claims 21 and 44, Matsuzaki et al teach a method/computer readable medium wherein the path includes a user mode portion and a kernel portion, the method comprising performing an authentication of the user mode portion of the path and of the kernel portion of the path to determine whether each defining module thereof is to be trusted to appropriately handle the digital content passing there through (*see column 5 lines 45-67, 9 line 29-10 line 4, 18 line 21-67*).

24. As per claims 22 and 45, Matsuzaki et al teach a method/computer readable medium wherein the path includes a tunneled portion, the method further comprising scrambling the digital content upon such digital content entering the tunneled portion of the path, such scrambled digital content then passing through the modules that define the tunneled portion of the path; and de-scrambling the scrambled digital content upon such scrambled digital content

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exiting from the tunneled portion of the path, and wherein performing an authentication comprises performing an authentication of at least a portion of the path external to the tunneled portion of the path to determine whether each defining module thereof is to be trusted to appropriately handle the digital content passing there through, an authentication of the tunneled portion being unnecessary (*see fig 3, 9, 10, 11, column 11 line 11-61, 22 line 42-23 line 9*).

25. As per claims 23 and 46, Matsuzaki et al teach a method/computer readable medium wherein the path includes a user mode portion, a kernel portion, and a tunneled portion in the user mode portion, the method further comprising scrambling the digital content upon such digital content entering the tunneled portion of the user mode portion of the path, such scrambled digital content then passing through the modules that define the tunneled portion of the user mode portion of the path, and de-scrambling the scrambled digital content upon such scrambled digital content exiting from the tunneled portion of the user mode portion of the path and wherein performing an authentication comprises performing an authentication of at least a portion of the path external to the tunneled portion of the user mode portion of the path to determine whether each defining module thereof is to be trusted to appropriately handle the digital content passing there through, an authentication of the tunneled portion being unnecessary (*see fig 3, 9, 10, 11, column 11 line 11-61, 22 line 42-23 line 9*).

Response to Arguments

26. Applicant's arguments filed December 2nd, 2002 have been fully considered but they are not persuasive.

a. Applicant argues that the prior art (Matsuzaki et al) fail to disclose decrypting the encrypted digital content and forwarding such content to a rendering application.

Examiner respectfully disagrees with Applicant's characterization of Matsuzaki et al's inventive concept. Matsuzaki et al teach in the specification as well as in claim 29 a first receiving means for receiving challenge data from the device in communication, decryption means for decrypting the received challenge data, separation means for separating the decrypted challenge data into a first separated data which corresponds to response data, and a remaining second separated data to be used for the data transfer key, second transmission means for returning the first separated data to the device in communication as response data, second receiving means for receiving response data returned from the device in communication (*see claim 29*),

Conclusion

THIS ACTION IS MADE FINAL. Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event,

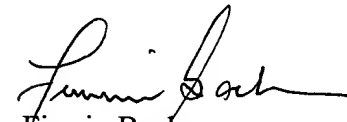
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however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Firmin Backer whose telephone number is (703) 305-0624. The examiner can normally be reached on Mon-Thu 8:30-6:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James Trammel can be reached on (703) 305-9768. The fax phone numbers for the organization where this application or proceeding is assigned are (703) 305-7687 for regular communications and (703) 305-7687 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 308-1113.


Firmin Backer
January 22, 2003


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